



# CITY OF RANCHO PALOS VERDES

## NOTIFICATION REGARDING THE ANONYMOUS FRAUD, WASTE, AND ABUSE HOTLINE SERVICES RFP

### PLEASE BE ADVISED:



THE CITY HAS RECEIVED REQUESTS FOR ITS RFP DOCUMENT AS A WORD FILE. IF YOU ARE INTERESTED IN RECEIVING THIS FILE, PLEASE CONTACT DENNIS MCLEAN, DIRECTOR OF FINANCE, AT [DENNISM@RPV.COM](mailto:DENNISM@RPV.COM).

ADDITIONALLY, ON THE FOLLOWING PAGES YOU WILL FIND AN AGENDIZED ITEM SCHEDULED TO GO BEFORE THE CITY COUNCIL ON TUESDAY, JULY 15, 2014 REQUESTING AN EXTENSION OF THE PROPOSAL SUBMITTAL DEADLINE TO AUGUST 18, 2014.

IF THE CITY COUNCIL APPROVES THE DEADLINE EXTENSION, NOTICE OF THAT DECISION WILL BE POSTED ON JULY 16, 2014.



## **MEMORANDUM**

**TO:** HONORABLE MAYOR & CITY COUNCIL MEMBERS  
**FROM:** DENNIS McLEAN, DIRECTOR OF FINANCE   
**DATE:** JULY 15, 2014  
**SUBJECT:** REQUEST FOR PROPOSALS UPDATE –  
ANONYMOUS FRAUD, WASTE AND ABUSE HOTLINE  
**REVIEWED:** CAROLYNN PETRU, ACTING CITY MANAGER 

### **RECOMMENDATION**

Extend the deadline from July 21, 2014 to August 18, 2014 for the competitive process for the selection of an independent 3<sup>rd</sup> party hotline service provider for the forthcoming Anonymous Fraud, Waste, and Abuse Hotline.

### **EXECUTIVE SUMMARY**

On Friday, June 27, 2014, Staff released a Request for Proposals for the City's proposed Anonymous Fraud, Waste, and Abuse Hotline (Attachment A). The RFP was released to nine (9) hotline industry leaders. Of those nine (9) companies contacted, one (1) company responded that it was primarily focused to internal hotlines only and would not submit a proposal. Another company responded it was unable to provide a confidential database to be used for tracking hotline reports and would not submit a proposal. Another company asked to be removed from the list of proposers as it is not their practice to respond to RFP requests.

Two (2) companies asked for additional time to prepare and submit their proposal. No proposals have been submitted at the time this staff report was released. Staff encourages continuance of the competitive process with an extension of the RFP deadline to August 18, 2014 to allow the six (6) remaining independent 3<sup>rd</sup> party hotline service provider an opportunity to submit proposals. With the proposed extension to August 18, 2014, Staff feels confident that the City will receive several sound proposals from industry leaders providing independent 3<sup>rd</sup> party hotline services.

## **RFP UPDATE – ANONYMOUS FRAUD, WASTE AND ABUSE HOTLINE**

July 15, 2014

Page 2 of 2

### **BACKGROUND AND DISCUSSION**

In 2012, Mayor Duhovic requested that a staff report be prepared for the City Council to consider the establishment of an Anonymous Fraud, Waste and Abuse Hotline. Separately, Staff presented the City's reply to the Los Angeles Civil Grand Jury report at the September 9, 2013 City Council meeting, as well as a several recommendations, including the implementation of an Anonymous Fraud, Waste, and Abuse Hotline, administered by an independent third-party consultant. The City Council approved the recommendations presented to the City Council, including the establishment of a hotline.

On June 3, 2014, the City Council took several actions related to the establishment of the anonymous Fraud, Waste, and Abuse Hotline, including:

- Receiving and filing the "Rancho Palos Verdes – Whistleblower Hotline Analysis" Memorandum written by Mark Meyerhoff of Liebert, Cassidy, Whitmore;
- Providing Staff with City Council's policy decisions regarding the establishment of the hotline;
- Directing the City Council Audit Subcommittee to provide oversight for the establishment of a Hotline;
- Directing Staff to prepare a Request for Proposals (RFP) from interested independent 3<sup>rd</sup> party hotline service providers; and
- Directing Staff, the Audit Subcommittee and the City's independent auditors to review proposals received and make a recommendation to the City Council for approval of a professional services agreement for hotline administration services.

#### **Attachments:**

Request for Proposals - Fraud, Waste, & Abuse Hotline Services

# **City of Rancho Palos Verdes Request for Proposals**

**Fraud, Waste, & Abuse Hotline Services**

**Due: 5:00 p.m. on July 21, 2014**



**City of Rancho Palos Verdes**

**Attention: Dennis McLean, Director of Finance**

**30940 Hawthorne Blvd, Rancho Palos Verdes, CA 90275**

**Phone: (310) 544-5212 | Email: [DennisM@rpv.com](mailto:DennisM@rpv.com)**



## **CITY OF RANCHO PALOS VERDES REQUEST FOR PROPOSALS FRAUD, WASTE, & ABUSE HOTLINE SERVICES**

### **1. INTRODUCTION AND PROJECT**

The City of Rancho Palos Verdes is requesting proposals from qualified professionals to implement and coordinate a city-wide, anonymous Fraud, Waste, & Abuse Hotline. The City uses the statutory definition of fraud, waste, and abuse: *"any activity by a local agency or employee that is undertaken in the performance of the employee's official duties, including activities deemed to be outside the scope of his or her employment, that is in violation of any local, state, or federal law or regulation relating to corruption, malfeasance, bribery, theft of government property, fraudulent claims, fraud, coercion, conversion, malicious prosecution, misuse of government property, or willful omission to perform duty, is economically wasteful, or involves gross misconduct."* Gov. Code § 53087.6, subd. (f)(2).

The City will select one firm, based on demonstrated competence and a cost effective approach to design, conduct, and assist in the implementation of a city-wide anonymous Fraud, Waste, & Abuse Hotline.

### **2. BACKGROUND**

The City of Rancho Palos Verdes is a scenic, upscale, residential coastal community, with a population of 42,000, located on the Palos Verdes Peninsula of southwestern Los Angeles County.

The City of Rancho Palos Verdes is a contract city, meaning that some services are provided by contract with agencies (both public and private) and some services are delivered by the City's own employees. Police and fire protection is provided by the County of Los Angeles. The County of Los Angeles also provides sanitary, sewer and other specialized public works services, while library services are provided through a special district. Services provided by the City are solid waste collection, construction and maintenance of streets and other infrastructure, planning and zoning activities, recreational activities, and an extensive system of public parks, open space and trails.

**City Government:** Rancho Palos Verdes is a General Law City and has operated under the Council-Manager form of government since incorporation in 1973. Policy-making and legislative authority are vested in the governing City Council, which consists of five Council Members, including the Mayor and Mayor Pro-Tem. The City Council is elected on a non-partisan, at-large basis. Council Members are elected to four-year staggered terms with two or three Council Members elected every two years. The Council designates the Mayor and Mayor Pro-Tem for a one-year term. The City Manager is responsible for carrying out the policies and ordinances of the governing council, for overseeing the day-to-day operations of the government, and for appointing the heads of the government's departments. The City is fiscally sound and functions on an annual budget cycle.

**Labor Force:** The City of Rancho Palos Verdes has 62 authorized full time positions for FY 14-15, and its departments include an Administration Department, Finance Department, Community Development Department, Public Works Department and a Park and Recreation Department. Presently there is one bargaining unit that incorporates all employees minus the management staff.

### **3. SITUATION**

The City began its research regarding the implementation of a confidential and anonymous city-wide Fraud, Waste, and Abuse Hotline in the fall of 2013, including the best practices associated with the development, implementation, and coordination of an internal and external Hotline. Staff received explicit direction as to the intent of the Hotline's focus and methods for implementation at the June 3, 2014 City Council meeting.

The City's elected leaders desire to provide residents, employees, and concerned persons with telephonic and web-based means for reporting potential abuses, be those related to financial or personnel concerns.

The intent of this Request for Proposals (RFP) is to solicit service proposals from qualified firms to establish, operate, and maintain a dedicated toll-free telephone and online hotline for employees and residents of Rancho Palos Verdes ("CITY"), as well as non-resident concerned persons, to anonymously report complaints of fraud, waste, abuse, and other wrongdoing in connection with City government.

The contract to be awarded will be for an initial period of one (1) year, with up to three (3) additional, one (1) year options to renew at the sole discretion of the City. Therefore, proposals should reflect the maximum four (4) year term of the contract.

### **4. SCOPE OF SERVICES REQUIRED**

All proposals must be made on the basis of, and either meet or exceed, the requirements contained herein. The City of Rancho Palos Verdes is seeking the services of a highly qualified software and customer support firm to assist in:

#### **4.1 Toll Free Hotline**

- 4.1.1** The Hotline Administrator shall provide a toll-free hotline number that will be unique to the City and the number will be retained by or transferred to the City after completion or termination of the contracted service.
- 4.1.2** Calls to the hotline must be answered by a live intake representative 24 hours a day, 7 days a week, and 365 days a year. The Hotline Administrator shall have sufficient staffing and technical capacity to answer multiple calls simultaneously.
- 4.1.3** The Hotline Administrator shall provide representatives who are fluent in a variety of languages. The proposal shall notate which specific languages the firm is capable of supporting. The City's primary languages, as defined by the Los Angeles County Registrar/Recorder, include Chinese, English, Hindi, Japanese, Korean, and Spanish.
- 4.1.4** The Hotline Administrator shall describe the contingency process in place should call volume exceed customer service representative capacity.
- 4.1.5** Complainants shall be given the option to remain anonymous. Where this option is selected, the anonymity of hotline complainants shall be protected. Calls will not be recorded and caller identification information will not be maintained.

- 4.1.6 The complainant shall be provided with an option to provide and receive follow-up communication regarding his or her complaint.
- 4.1.7 All telephone-based complaints shall be entered into the Hotline Administrator's electronic case management system within three (3) hours of its receipt of the complaint.
- 4.1.8 Allegations submitted telephonically must be appropriately routed to the designated City contact(s) by the Hotline Administrator within three (3) hours of the submission.
- 4.1.9 The proposal shall illustrate call volume costs via a tier system of 50, 100, and 150 calls annually.

#### **4.2 Internet-based Complaint Reporting System**

- 4.2.1 Hotline Administrators must include quotations and pricings for an internet-based complaint reporting system integrated with the toll-free telephone hotline.
- 4.2.2 The Hotline Administrator shall provide an internet-based reporting system through a secure website, customized for the City.
- 4.2.3 The website shall include a standardized web form allowing the complainant to submit allegations through the website.
- 4.2.4 All web-based complaints shall be entered into the Hotline Administrator's electronic case management system within three (3) hours of its receipt of the complaint.
- 4.2.5 Allegations submitted via the website must be read and appropriately routed to the designated City contact(s) by the Hotline Administrator within three (3) hours of the submission.
- 4.2.6 Complainants shall be provided with the option to receive follow-up communication regarding complaints.
- 4.2.7 Complainants shall be given the option to remain anonymous. Where this option is selected, the anonymity of online complainants shall be protected. IP addresses will not be tracked for complaints submitted via the website.
- 4.2.8 The proposal shall illustrate web-based submittal costs via a tier system of 50, 100, and 150 web-based submittals annually.
- 4.2.9 The website shall be accessible to persons with disabilities, including, but not limited to, accessible elements such as alt tags, long descriptions, and/or captions for photos, graphics, scanned images, and video. Documents posted on the website should be in HTML or a text-based format [even if posted in another format, such as Portable Document Format (PDF)], in order to be read by reader software. Online forms and tables should also be accessible.

#### **4.3 Staff**

- 4.3.1 Intake representatives shall be trained to capture sufficient information from complainants upon which to initiate an investigation into the complaints and to ask questions as appropriate to solicit this information.
- 4.3.2 Intake representatives shall be trained in delivering excellent customer service

and shall maintain a courteous and professional demeanor with complainants at all times.

4.3.3 Intake representatives shall be trained in recognizing when a hotline or online complaint is a life-threatening emergency and shall inform the complainant to contact 911.

4.3.4 The Hotline Administrator shall provide a dedicated account representative as the single point of contact for any Contract and technical issues. The representative shall be a Hotline Administrator senior staff member.

#### **4.4 Integrated Case Management System**

4.4.1 All complaints shall be tracked in an integrated case management system. The Hotline Administrator shall provide an integrated Case Management System ("System") with the following specifications:

4.4.2 The system shall generate and deliver an electronic notification to the City of all new complaints, including a complaint summary, within three (3) hours of a new case being created in the system.

4.4.3 At a minimum, the complaint summary will include the date and time the complaint was submitted, the method the complaint was reported (via hotline or online), a detailed description of the nature of the complaint, and whether the complainant has selected the option for follow-up communication.

4.4.4 If so requested by the complainant, the complaint summary will be anonymous as to the identity of the complainant.

4.4.5 The system shall generate and deliver an electronic notification to the City of all subsequent and follow up communication between the Hotline Administrator and the complainant within three (3) hours of said communication being entered into the system.

4.4.6 The system shall track initial complaints and any subsequent follow-up contact with complainants on the same allegations.

4.4.7 The system shall allow a designation of a broad case type including but not limited to fraud, waste, and abuse, EEO related, or management issues.

4.4.8 The system shall allow the City to input and track complaints received directly by the City into the system.

4.4.9 The system shall automatically assign a unique case number to each new complaint. Case numbers shall be assigned in a systematic and serialized manner.

4.4.10 The system shall allow a system administrator from the City to assign specific cases to other users within the system for investigation.

4.4.11 The system shall allow the assigned City investigator to input status information into the system.

4.4.12 The system shall provide the ability to set a reminder for needed actions for specific cases.

4.4.13 The system shall allow the City to have a minimum of two (2) system administrators with full system access and rights to the City's data and the ability

to add new users and assign access rights and ten (10) end users with varying levels of system access and rights.

4.4.14 The system shall provide for the indefinite storage of the City's complaint and investigative data in accordance with California record retention requirements for local governments.

4.4.15 The system shall provide a method for the City to communicate with intake representatives regarding specific cases, including providing follow-up information and questions to be shared with the complainants by the intake representative.

4.4.16 The system shall include the ability to reflect the status of a particular case, at a minimum allowing the case to be reflected as open, in progress, or closed.

4.4.17 The system shall allow for the creation and downloading of reports at minimum levels of monthly, quarterly, annually, and year-to-date program activity. These reports shall be easily sortable by a variety of fields including date, nature of the complaint, and length of time from the initial complaint intake to when the case was reflected as closed in the system. These reports may be provided by the Hotline Administrator to the City electronically or run and downloaded by the City's system administrators.

4.4.18 The system shall be searchable based upon login security rights.

#### **4.5 Marketing and Educational Materials**

4.5.1 The Hotline Administrator shall provide the City with communication tools and other materials to promote and advertise the hotline including posters, business cards and brochures customized to the City for residents, non-resident concerned parties, and employees of the City.

#### **4.6 Technical Support and Requirements**

4.6.1 The Hotline Administrator shall provide dedicated support from the client services team for program set up, system training, and on-going system maintenance.

4.6.2 The toll-free hotline must be accessible to persons with disabilities, including but not limited to individuals who use Text Telephone (TTY) and the Telecommunications Relay Service (TRS).

4.6.3 The Hotline Administrator shall ensure the network security of all City data maintained in the system.

4.6.4 The Hotline Administrator shall maintain adequate capacity on its network during the Contract term to meet the City's usage needs.

#### **4.7 Annual Meeting**

4.7.1 The Hotline Administrator shall meet with the City, either on site or via a remote digital link, a minimum of one time annually to provide a program overview, including trends, benchmarking against the Hotline Administrator's book of business, new program or system features, and any recommendations the Hotline Administrator believes the City should consider moving forward.



## 5. QUALIFICATIONS AND CRITERIA

**Qualifications:** The City of Rancho Palos Verdes will select one firm for all the outlined Scope of Services on the basis of qualifications, experience and cost. The following are the minimum qualifications to be used to evaluate the responses to this Request for Proposals:

1. Hotline Administrators must demonstrate that they have the resources and capability to provide the materials and services as described herein. All Hotline Administrators must submit the documentation indicated below with their proposal. Failure to provide any of the required documentation shall be cause for proposal to be deemed non-responsive and rejected.
2. Hotline Administrators must have a minimum of five (5) years of verifiable experience providing fraud, waste, and abuse complaint hotline and online reporting services.
3. The Hotline Administrator has a demonstrated track record of success in handling all aspects of fraud, waste, and abuse complaint hotline services to public entities in the State of California.
4. Each Hotline Administrator shall provide five (5) references, preferably from governmental agencies, for relevant work performed in the past five (5) years. When possible, include references from cities with size and characteristics comparable to the City of Rancho Palos Verdes.

**Selection Criteria:** The City of Rancho Palos Verdes will conduct a comprehensive, fair, and impartial evaluation of the proposals received in response to the Request for Proposals. All proposals received from vendors will be reviewed and evaluated by a committee established by the City. The names, information, or experience of the individual members will not be made available to any vendor. The Evaluation Committee will first screen all proposals submitted, according to the minimum qualifications set forth above. The following criteria will be used in reviewing and comparing the proposals and in determining the most responsive bid:

1. Qualifications, background and prior experience of the firm, experience of key staff assigned to oversee services provided to the City of Rancho Palos Verdes, evaluation of size and scope of similar work performed and success on those projects.
2. Cost and Fees to the City of Rancho Palos Verdes for handling matters. Cost is not the sole determining factor but will be taken into consideration. Hotline Administrator must offer services at a rate comparable to the rate Hotline Administrator provides to other governmental agencies for similar work. Offering a higher rate to the City of Rancho Palos Verdes than the comparable rate offered to other organizations with comparable specifications is grounds for disqualification of the Hotline Administrator. If rates differ for different types or levels of service, the Hotline Administrator's proposal should illustrate those differences.
3. References including past performance of proposer.
4. Responsiveness to the Request for Proposals and quality of the proposal.

## **6. FORMAT AND DELIVERY OF RESPONSES**

Respondents are asked to submit six (6) copies of proposals in sufficient detail to allow for a thorough evaluation and comparative analysis. The proposals should include at minimum, the following information in a sectionalized format addressing all phases of work in the Request for Proposals.

**Format:** Limit quotations to 30 typed 8.5" X 11" pages, or fewer, on white bond paper, single sided (excluding cover letter and attachments). You may attach a firm brochure if you wish, but it must be as a separate attachment and independent from the required elements noted above.

1. Use a conventional typeface with a minimum font size of 12 points. Use a 1" margin on all borders.
2. Organize your proposal in the order described above.
3. Provide one (1) unbound original, in addition to the six, of your firm's response and one (1) electronic version.
4. Prominently label the envelope / package: "RFP for Fraud, Waste, and Abuse Hotline Services" and include the name of the prime respondent (Dennis McLean).

**Cover Letter:** All proposals shall include a cover letter which states that the proposal shall remain valid for a period not less than ninety (90) days from the date of submittal. If the proposal contemplates the use of sub-contractors, the sub-contractors shall be identified in the cover letter. If the proposal is submitted by a business entity, the cover letter shall be signed by an officer authorized to contractually bind the business entity. With respect to the business entity, the cover letter shall also include: the identification of the business entity, including the name, address and telephone number of the business entity; and the name, title, address and telephone number of a contact person during the proposal evaluation period.

**Introduction:** Present an introduction of the proposal and your understanding of the assignment and significant steps, methods and procedures to be employed by the proposer to ensure quality deliverables that can be delivered within the required time frames and your identified budget.

**General Scope of Work:** Briefly summarize the scope of work as the proposer perceives or envisions it for each area proposed.

**Work Plan:** Present concepts for conducting the work plan and interrelationship of all products. Define the scope of each task including the depth and scope of analysis or research proposed.

**Schedule:** As time is of the essence for this assignment, recommend a schedule of work indicating specific milestones.

**Fee and Costs:** Although an important aspect of consideration, the financial cost estimate will not be the sole justification for consideration. Negotiations may or may not be conducted with the proposer; therefore, the proposal submitted should contain the proposer's most favorable terms and conditions, since selection and award may be made without discussion with any firm. All prices should reflect "not to exceed" amounts per item.



**Ability of the Proposer to Perform:** Provide a detailed description of the proposer and his/her qualifications, including name(s), title(s), detailed professional resume(s), and past experience in similar work efforts/products of key personnel who will be working on the assignment. Provide a list of specific related work projects that have been completed by the proposer which are directly related to the assignment described in the Request for Proposals. Note the specific individuals who completed such project(s). Identify the role and responsibility of each member of the project team. Include the amount of time key personnel will be involved in the respective portions of the assignment. Respondents are encouraged to supply relevant examples of their professional product. Provide a list of references.

**Delivery:** Responses are due on or before 5:00 p.m. on Monday, July 21, 2014. Late responses will not be accepted. Deliver the responses to:

City of Rancho Palos Verdes  
Attention: Dennis McLean, Director of Finance  
30940 Hawthorne Blvd  
Rancho Palos Verdes, CA 90275

If you have any questions regarding this Request for Proposals, please contact Dennis McLean by telephone at (310) 544-5212 or via email at [DennisM@rpv.com](mailto:DennisM@rpv.com).

**Withdrawal and Resubmittal:** Prior to the submittal deadline, a hotline services proposer may request withdrawal of a previously submitted proposal in order to amend and resubmit a proposal. Resubmitted proposals must be received prior to the stated RFP deadline.

## **7. ADDENDA, CHANGES, AND AMENDMENTS TO THIS SOLICITATION**

At any time prior to the due date for responses, the City of Rancho Palos Verdes may make changes, amendments, and addenda to this solicitation, including changing the date due to allow respondents time to address such changes. Addenda, changes and amendments, if made will be posted on the City's website (<http://www.palosverdes.com/rpv/citymanager/index.cfm>), which is deemed adequate notice. A proposer may make a request to the City's project manager to be placed on a list of persons to receive notice of any such addenda, changes, or amendments. The preferred manner of communication is via e-mail due to its timeliness. The Director of Finance, Mr. Dennis McLean, may be reached by email at [DennisM@rpv.com](mailto:DennisM@rpv.com).

## **8. CONDITION FOR RESPONSES TO REQUEST FOR PROPOSAL**

The following conditions apply to the Request for Proposals process:

- A. Nothing contained in this Request for Proposals shall create any contractual relationship between the respondent and the City of Rancho Palos Verdes.
- B. This Request for Proposals does not obligate the City of Rancho Palos Verdes to establish a list of service providers qualified as prime contractors, or award a contract to any respondent. The City of Rancho Palos Verdes reserves the right to amend or cancel the Request for Proposals without prior notice, at any time, at its sole discretion.

- C. The City of Rancho Palos Verdes shall not be liable for any expenses incurred by any individual or organization in connection with the Request for Proposals.
- D. No conversations or agreements with any officer, agent or employee of the City of Rancho Palos Verdes shall affect or modify any terms of this Request for Proposals. Oral communications or any written/e-mail materials provided by any person other than the designated contact staff of the City of Rancho Palos Verdes shall not be considered binding.
- E. The City of Rancho Palos Verdes reserves the right, in its sole discretion, to accept or reject any or all proposals without prior notice and to waive any minor irregularities of defects in a proposal. The City of Rancho Palos Verdes reserves the right to seek clarification on a proposal with any source.
- F. The dates, times and sequence of events related to this Request for Proposals shall ultimately be determined by the City of Rancho Palos Verdes. The schedule is subject to change, at the sole discretion of the City of Rancho Palos Verdes, although the City will attempt to follow it and, if it must be altered, will attempt to provide reasonable notice of the changes.
- G. Respondents shall not issue any news release pertaining to this Request for Proposals or the City of Rancho Palos Verdes without prior written approval of the City.
- H. All submitted proposals and information included herein or attached thereto, shall become public record upon delivery to the City of Rancho Palos Verdes.

#### **9. RIGHT BY THE CITY TO WITHDRAW THIS REQUEST**

The City of Rancho Palos Verdes, at its sole discretion and for any reason whatsoever, may withdraw this solicitation at any time.

#### **10. STANDARD TERMS AND CONDITIONS**

Prior to the award of any work hereunder, the City and the proposer shall enter into a written contract (an example of which is attached hereto) for services. Proposers responding to this Request for Proposals are strongly encouraged to review all the terms and conditions of the Contract.

**ATTACHMENT 1  
MINIMUM QUALIFICATIONS CERTIFICATION**

\_\_\_\_\_  
Proposer Firm Name

The Proposer must substantiate that the firm satisfies all of the Minimum Qualifications stated within this RFP, to the CITY's satisfaction, to be given further consideration. The statement must contain sufficient information as prescribed to assure the CITY of its accuracy. Failure to satisfy each of the Minimum Qualifications, based on the CITY's sole judgment, will result in the immediate rejection of the Proposal.

The Proposer must complete all of the Minimum Qualification statements listed below before signing. The signature of the authorized representative of the Proposer warrants that the Proposer has met all of the Minimum Qualifications.

- 1) The Proposer has been in the Fraud, Waste, and Abuse Hotline Services industry in the same name or organization serving California government agencies for at least five (5) years.  
☐ Yes / ☐ No
- 2) The Proposer's primary consultant (ex. project manager) assigned to the CITY has a minimum of three (3) years of hotline experience with local California governmental agencies and has been employed by Proposer for at least one (1) year.  
☐ Yes / ☐ No
- 3) The Proposer has direct responsibility for the management of the account, and all personnel responsible for the account are employees of the firm.  
☐ Yes / ☐ No
- 4) The Proposer does not have, nor potentially has, a conflict of interest with the CITY, including, but not limited to, any member of the City Council, City Staff, its advisors and contractors, its auditors, other consultants currently serving the CITY.  
☐ Yes / ☐ No
- 5) The Proposer can provide verifiable references of local California government agencies.  
☐ Yes / ☐ No

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Authorized Signature

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Print or Type Name

---

Title

---

Date

**ATTACHMENT 2  
COMPANY QUESTIONNAIRE**

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Proposer Firm Name

---

Proposer's Legal Name

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Type of Business (Corporation, Partnerships, Individual, etc.)

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Headquarters Address

---

Address of Office of Proposer That Would Manage the Account (if different)

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Proposer Contact Name

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Telephone Number	Fax Number	Email Address
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Proposer Back-up Contact Name

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Telephone Number	Fax Number	Email Address
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Signer (authorized to bind the Proposer)	Date
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Name and Title of Authorized Signer (Please type or print)

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Signer (authorized to bind the Proposer)	Date
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Name and Title of Authorized Signer (Please print)

### **ATTACHMENT 3 WARRANTIES**

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Proposer Firm Name

Proposer agrees to the incorporation of the following warranties in the proposed engagement:

Proposer warrants that it maintains or will obtain, at its expense prior to engagement, required insurance policy as stated herein for negligent acts or omissions and that such coverage is applicable.

Proposer warrants all information and statements in this RFP are complete and true. Any statement or claim found to be incomplete, misleading, or false will be grounds for immediate disqualification or dismissal and may be subject to legal action.

Proposer warrants this proposal is genuine, and not sham or collusive, nor made in the interest or on behalf of any person not named therein; the proposer has not directly or indirectly induced or solicited any other proposer to put in a sham bid, or any other person, firm or corporation to refrain from submitting a proposal, and the Proposer has not in any manner sought by collusion to secure for themselves an advantage over any other proposer.

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Authorized Signature

---

Print or Type Name

---

Title

---

Date

**ATTACHMENT 4  
FEE PROPOSAL**

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Proposer Firm Name

Subject to advance approval by the CITY, the CITY shall reimburse the selected Consultant for reasonable travel costs incurred, including airfare, transportation, lodging and meals in conjunction with attending local meetings in the performance of the engagement. Consultant shall furnish the CITY with evidence of such costs incurred along with written request for reimbursement. The selected Consultant shall be solely responsible for incidental costs, including but not limited to, printing, clerical support in delivery of services and the production of written reports.

Each Proposer shall provide its Fee Proposal based upon the details of the costs for telephone reports, web-based submittals, and general inquiries at the service levels of 50/100/150 reports annually, as well as reporting capabilities and analytics.



## **ATTACHMENT 5 QUESTIONNAIRE**

### **Organization**

Provide the address of the office that will service this account.

Give a brief history of your firm's involvement in the hotline services industry serving California municipalities, including the year of organization. As of July 1, 2014, for how many years has your firm provided hotline services serving California municipalities?

What are your firm's consulting specialties and strengths?

What differentiates your firm from your competitors?

What are your firm's limitations?

### **Clients**

Please provide a listing of clients that may be used as reference checks:

Name of Client	Contact Name	Contact Number	Contact Email

### **Standards of Conduct**

Disclose any relationship you have or have had with any City Council members, consultants, or CITY employees. Briefly describe your philosophy relating to the selected Consultant's relationship with Council members and Staff.

Disclose any gifts (meals, tickets, anything of value over \$50, etc.) that you have given to or received from any City Council member, consultants, or CITY employee in the last 12 months. If 'Yes', please disclose them using "Gift Disclosure Form."

For the past 10 years, has the firm, its officers or principals or any affiliate ever:

- a. Been the focus of a non-routine inquiry or investigation or a similar inquiry or investigation from any federal, state or self-regulatory body or organization;
- b. Settled any litigation concerning breach of fiduciary responsibility or other investment related matters; or
- c. Submitted a claim to your error & omission, fiduciary liability and/or fidelity bond insurance carrier(s)?

If 'yes', please provide details and the current status of proceedings.

**ATTACHMENT 6**  
**Gift Disclosure Form**

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Proposer Firm Name

No.	Date (mm/dd/yy)	Given to / Received from	Description of Gifts <sup>1</sup>	Value (US\$)

<sup>1</sup> Gifts could be in the form of meals, tickets, paid travel, items of value over \$50, etc.

**ATTACHMENT 7**  
**Disclosure Form –**  
**Communication with City Staff, and/or City Council**

\_\_\_\_\_  
Proposer Firm Name

No.	Names, Dates and Description Of Information Provided/Received And/Or Nature Of Communication